

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		U.S. APPLICATION NO. (PCT)
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		FCCC 96-11  <b>09/202549</b>
INTERNATIONAL APPLICATION NO. PCT/US97/10486	INTERNATIONAL FILING DATE 17 June 1997	PRIORITY DATE CLAIMED 17 June 1996
TITLE OF INVENTION NUCLEIC ACID MOLECULE FOR ENHANCING GENE EXPRESSION		
APPLICANT(S) FOR DO/EO/US Philip TSICHLIS, H. Leighton GRIMES and Patrick ZWEIDLER-McKAY		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>		
Items 11. to 16. below concern other document(s) or information included:		
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.		
14. <input type="checkbox"/> A substitute specification.		
15. <input type="checkbox"/> A change of power of attorney and/or address letter.		
16. <input checked="" type="checkbox"/> Other items or information: <ol style="list-style-type: none"> <li>1. Copy of Verified Statement (Declaration) Supporting Another's Claim for Small entity Status [37 CFR 1.9(f) and 1.27(d)] - Nonprofit Organization from U.S. Provisional Application No. 00/019,808</li> <li>2. Certificate of Express Mailing Under 37 CFR 1.10</li> </ol>		

3 APPLICATION NO. <u>                    </u> 37 CFR 1.50				INTERNATIONAL APPLICATION NO. PCT/US97/10486		ATTORNEY'S DOCKET NUMBER			
17. <input type="checkbox"/> The following fees are submitted: <div style="margin-left: 20px;"> <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b>              Search Report has been prepared by the EPO or JPO. .... <b>\$830.00</b>               International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... <b>\$640.00</b>              No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).. <b>\$710.00</b>               Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... <b>\$950.00</b>               International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)..... <b>\$90.00</b>   <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> </div>						CALCULATIONS		PTO USE ONLY	
						96	00		
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).						130	00		
Claims	Number Filed	Number Extra	Rate						
Total Claims	25 - 20 =	5	X 18.00	\$ 90	00				
Independent Claims	5 - 3 =	2	X 78.00	\$ 156	00				
Multiple dependent claims(s) (if applicable)				+					
<b>TOTAL OF ABOVE CALCULATIONS</b>				=	\$ 472	00			
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				=	\$ 236	00			
<b>SUBTOTAL</b>				=	\$ 236	00			
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+					
<b>TOTAL NATIONAL FEE</b>				=	\$ 236	00			
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				+					
<b>TOTAL FEES ENCLOSED</b>				=	\$ 236	00			
					Amount to be:				
					refunded	\$			
					charged	\$			
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>236.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>04-1406</u> . A duplicate copy of this sheet is enclosed.									
<b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.									
SEND ALL CORRESPONDENCE TO: Janet E. Reed, Ph.D. DANN, DORFMAN, HERRELL AND SKILLMAN 1601 Market Street Suite 720 Philadelphia, PA 19103-2307				<div style="text-align: center;"> </div> <div style="text-align: center; font-size: small;">SIGNATURE</div> <div style="text-align: center; margin-top: 10px;"> <u>Janet E. Reed, Ph.D.</u>  <small>NAME</small> </div> <div style="text-align: center; margin-top: 10px;"> <u>36,252</u>  <small>REGISTRATION NUMBER</small> </div>					

09/202549

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**CERTIFICATE OF MAILING  
BY EXPRESS MAIL UNDER 37 CFR §1.10**

NUMBER OF EXPRESS MAIL MAILING LABEL EL076462317US

DATE OF DEPOSIT WITH POSTAL SERVICE December 16, 1998

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. §1.10 on the date indicated above, and is addressed to the COMMISSIONER OF PATENTS AND TRADEMARKS, Washington, D.C. 20231.

Tina M. Doyle

Typed Name of Person Mailing Paper or Fee

[Signature]  
Signature of Person Mailing Paper or Fee

Re: International Application No. PCT/GB97/10486  
"NUCLEIC ACID MOLECULE FOR ENHANCING GENE EXPRESSION"  
Applicants: Philip Tschlis et al.  
International Filing Date: 17 June 1997  
Priority Date: 17 June 1996

Enclosures:

- Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371 (Form PTO-1390)
- Copy of Verified Statement (Declaration) Supporting Another's Claim for Small Entity Status [37 CFR 1.9(f) and 1.27(d)] - Nonprofit Organization from the corresponding priority application, U.S. Application No. 60/019,808
- Check for \$236.00